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MAR 05 2004  
UNITED STATES PATENT AND TRADEMARK OFFICE

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DUCKED 1 ED Page 1 of 2

JAN 07 2004

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UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
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www.uspto.gov

APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/680,722	10/07/2003	Brad J. Block	105967.0101

Pepper Hamilton LLP  
One Mellon Center  
50th Floor  
500 Grant Street  
Pittsburgh, PA 15219

CONFIRMATION NO. 2649

FORMALITIES LETTER



"OC000000011610142"

Date Mailed: 01/05/2004

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

03/11/2004 MDAMTE1 00000039 10680722

01 FC:1001 -770.00 OP  
02 FC:1051 -130.00 OP  
03 FC:1201 -602.00 OP  
04 FC:1202 -270.00 OP

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

**Items Required To Avoid Abandonment:**

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 770 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Replacement drawings in compliance with 37 CFR 1.84 and 37 CFR 1.121 are required. The drawings submitted are not acceptable because:
  - The drawings have a line quality that is too light to be reproduced (weight of all lines and letters must be heavy enough to permit adequate reproduction) or text that is illegible (reference characters, sheet numbers, and view numbers must be plain and legible) see 37 CFR 1.84(l) and (p)(1); See Figure(s) 5A & 5B.

The applicant needs to satisfy supplemental fees problems indicated below.

Adjustment date: 06/21/2004 EEKUBAY1  
03/11/2004 MDAMTE1 00000039 10680722  
01 FC:1001 -770.00 OP  
02 FC:1051 -130.00 OP  
03 FC:1201 -602.00 OP  
04 FC:1202 -270.00 OP

06/21/2004 EEKUBAY1 00000006 10680722  
01 FC:2001 305.00 OP  
02 FC:2051 65.00 OP  
03 FC:2201 301.00 OP  
04 FC:2202 135.00 OP  
ReIn. Ref: 06/21/2004 EEKUBAY1 0010153800  
Name/Number:10680722  
DAH:500436  
FC: 9204

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Docket No. 105967.00101

PER 2-2007  
P001 W0307  
PATENT  
STATUS AND ENTITY  
BRANCH

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Brad J. Block et al.

Group Art Unit: 3626

Serial No.: 10/680,722

Examiner: Not yet assigned

Filed: October 7, 2003

For: METHOD AND APPARATUS FOR ACCESSING AND SYNCHRONIZING  
MULTIPLE HEALTH CARE DATABASES

**REQUEST UNDER 37 C.F.R. § 1.28(A) FOR REFUND OF EXCESS FILING FEE PAID  
BASED ON ESTABLISHMENT OF SMALL ENTITY STATUS**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This is a request under 37 C.F.R. § 1.28(a) for a refund of a portion of the basic filing fee and extra claim fees paid in the above-referenced application.

When the basic filing fee and extra claim fees were paid on March 5, 2004, the Fee Transmittal Form incorrectly included fee calculations based on large entity status. A copy of the Fee Transmittal Form is attached as Exhibit A.

The owner of the entire right, title, and interest in and to this patent application is Doylestown Hospital, a not-for-profit organization having an address of 595 West State Street, Doylestown, PA 18901. A copy of the applicable Assignment document, which was filed with the Assignment Division on November 3, 2003, is attached as Exhibit B. Accordingly, this application is entitled to small entity status.

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Docket No.: 105967.0101

PATENT

STATUS AND DUE DATES

The total basic filing fee and extra claim fees paid on March 5, 2004 were \$1,642.00. The filing fee and extra claim fees based on small entity status are \$821.00.

Accordingly, a refund of the excess payment in the amount of \$821.00 is hereby requested.

The Office is hereby authorized to credit the refund to Deposit Account No. 50-0436.

This Request is submitted within three months of the payment of the full fee, as required by 37 C.F.R. § 1.28(a).

Respectfully submitted,

PEPPER HAMILTON LLP



James M. Singer  
Registration No. 45,111

One Mellon Center, 50<sup>th</sup> Floor  
500 Grant Street  
Pittsburgh, PA 15219  
Phone: (412) 454-5023  
Fax: (412) 281-0717  
Date: March 5, 2004

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Docket No.: 105967.0101

PATENT

STATUS AND ENTITY  
6P4004

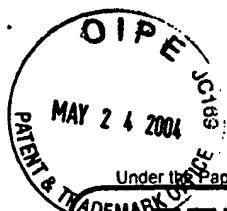


**EXHIBIT A**

105967.0101 2:22

**FEE TRANSMITTAL FOR FY 2004**

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PTO/SB/17 (10-03)

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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ENTITY

2:22

# **FEE TRANSMITTAL for FY 2004**

Effective 10/01/2003. Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT** **(\\$) 1772**

**Complete If Known**

Application Number	10/680,722
Filing Date	October 7, 2003
First Named Inventor	Brad J. Block
Examiner Name	Not yet assigned
Art Unit	3626
Attorney Docket No.	105967.0101

**METHOD OF PAYMENT (check all that apply)**

<input checked="" type="checkbox"/> Check	<input type="checkbox"/> Credit card	<input type="checkbox"/> Money Order	<input type="checkbox"/> Other	<input type="checkbox"/> None
<input type="checkbox"/> Deposit Account:				
Deposit Account Number	50-0436			
Deposit Account Name				

The Director is authorized to: (check all that apply)

Charge fee(s) indicated below  Credit any overpayments  
 Charge any additional fee(s) or any underpayment of fee(s)  
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

**FEE CALCULATION**

**1. BASIC FILING FEE**

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1001 770	2001 385	Utility filing fee			770
1002 340	2002 170	Design filing fee			
1003 530	2003 265	Plant filing fee			
1004 770	2004 385	Reissue filing fee			
1005 160	2005 80	Provisional filing fee			
<b>SUBTOTAL (1)</b>		<b>(\\$) 770</b>			

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Total Claims	Extra Claims	Fee from below	Fee Paid
35	-20** = 15	x 18	= 270
Independent Claims	10	- 3** = 7	x 86 = 602
Multiple Dependent			

Large Entity	Small Entity	Fee Description
1202 18	2202 9	Claims in excess of 20
1201 86	2201 43	Independent claims in excess of 3
1203 290	2203 145	Multiple dependent claim, if not paid
1204 86	2204 43	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent
<b>SUBTOTAL (2)</b>		<b>(\\$) 872</b>

\*\*or number previously paid, if greater; For Reissues, see above

**3. ADDITIONAL FEES**

**Large Entity** **Small Entity**

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	130
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 420	2252 210	Extension for reply within second month	
1253 950	2253 475	Extension for reply within third month	
1254 1,480	2254 740	Extension for reply within fourth month	
1255 2,010	2255 1,005	Extension for reply within fifth month	
1401 330	2401 165	Notice of Appeal	
1402 330	2402 165	Filing a brief in support of an appeal	
1403 290	2403 145	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,330	2453 665	Petition to revive - unintentional	
1501 1,330	2501 865	Utility issue fee (or reissue)	
1502 480	2502 240	Design issue fee	
1503 640	2503 320	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1808 770	2809 385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 770	2810 385	For each additional invention to be examined (37 CFR 1.129(b))	
1801 770	2801 385	Request for Continued Examination (RCE)	
1802 800	1802 800	Request for expedited examination of a design application	
Other fee (specify)			
*Reduced by Basic Filing Fee Paid		<b>SUBTOTAL (3) (\\$) 130</b>	

(Complete if applicable)

Name (Print/Type)	Joseph T. Helmsen	Registration No. (Attorney/Agent)	54,163	Telephone	412-454-5804
Signature				Date	3/5/04

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

ET 969960687 US

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Docket No.: 105967.0101



**PATENT**

STATS AND ENTITY  
BRANCH

2004 MAY 23 PM 2:22

**EXHIBIT B**

**ASSIGNMENT**

## ASSIGNMENT

2001 MAY 23 PM 2:22

WHEREAS we, Brad J. Block of Doylestown, PA; Julie E. Fenley of Ambler, PA; Ted Harrison of Whitby, Canada; Carolyn G. Muhlbauer of Hilltown, PA; and Patricia J. Witek of Doylestown, PA; (each, an "Assignor"), have made a certain new and useful invention as set forth and disclosed in an application for United States Letters Patent, entitled Method and System for Accessing and Synchronizing Multiple Health Care Databases, which (check one): [ ] is being filed with the United States Patent and Trademark Office herewith, OR [X] was filed with the United States Patent and Trademark office on 10/7/2003, as application serial number 10680,723;

AND WHEREAS, Doylestown Hospital, a not-for-profit organization having an address of 595 West State Street, Doylestown, PA 18901 ("Assignee"), desires to acquire the entire right, title and interest in and to said invention and in and to any and all Letters Patent of the United States and foreign countries that may be obtained therefor;

NOW, THEREFORE, for good and valuable consideration, the receipt for and sufficiency of which is hereby acknowledged, each Assignor does hereby sell, assign, transfer and set over unto Assignee, its legal representatives, successors, and assigns, his or her (as applicable) entire right, title and interest in and to said invention as set forth in the above-mentioned application, including any formal applications, continuations, continuations-in-part, divisions, reissues, re-examinations or extensions thereof, and in and to any and all patents of the United States and foreign countries which may be issued for said invention;

UPON SAID CONSIDERATION, each Assignor hereby agrees with Assignee that, as an undersigned Assignor, he/she will not execute any writing or do any act whatsoever conflicting with these presents, and that as an undersigned Assignor he/she will, at any time upon request, without further or additional consideration but at the expense of said Assignee, execute such additional assignments and other writings and do such additional acts as said Assignee may deem necessary or desirable to perfect the Assignee's enjoyment of this grant, and render all necessary assistance in making application for and obtaining original, divisional, continuations, continuations-in-part, reexamined, reissued, or extended Letters Patent of the United States or of any and all foreign countries on said invention, and in enforcing any rights or choses in action accruing as a result of such applications or patents, by giving testimony in any proceedings or transactions involving such applications or patents and by executing preliminary statements and other affidavits, it being understood that the foregoing covenant and agreement shall bind, and inure to the benefit of the assigns and legal representatives of Assignors and Assignee;

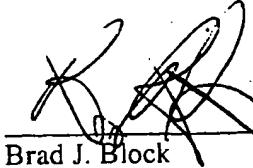
The undersigned hereby grant(s) the firm of PEPPER HAMILTON LLP the power to insert on this Assignment any further identification, including the application number and filing date, which may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

AND, each Assignor requests the Commissioner of Patents and Trademarks to issue any Letters Patent of the United States that may be issued for said invention to said Assignee, its legal representatives, successors or assigns, as the sole owner of the entire right, title and interest in and to said patent and the invention covered thereby.

STATE OF PENNSYLVANIA  
DOYLESTOWN TWP., BUCKS COUNTY

RECEIVED 10/03/03 PM 2:22

Date: 10/03/03, 2003

  
Brad J. Block

[STATE] Pennsylvania

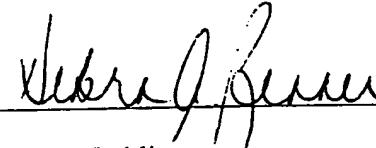
)  
SS:

[COUNTY] Bucks

)  
)

On this 3rd day of October, 2003, before me personally appeared Brad J. Block, to me known to be the person named in and who executed the above instrument, and acknowledged to me that she executed the same for the uses and purposes therein set forth.

SEAL

  
Debra A. Renner

Notary Public

My commission expires 5/19/07

COMMONWEALTH OF PENNSYLVANIA

Notarial Seal

Debra A. Renner, Notary Public  
Doylestown Twp., Bucks County

My Commission Expires May 19, 2007

Member, Pennsylvania Association Of Notaries

Docket No.: 105967-101

STATUS AND ENTITY  
BRANCH

RECEIVED 10/22

Date: 10/3, 2003

Julie E. Fenley  
Julie E. Fenley

[STATE] Pennsylvania

)

SS:

[COUNTY] Bucks

)

On this 3rd day of October, 2003, before me personally appeared Julie E. Fenley, to me known to be the person named in and who executed the above instrument, and acknowledged to me that she executed the same for the uses and purposes therein set forth.

Debra A. Renner

Notary Public

My commission expires 5/19/07

COMMONWEALTH OF PENNSYLVANIA

Notarial Seal  
Debra A. Renner, Notary Public  
Doylestown Twp., Bucks County  
My Commission Expires May 19, 2007  
Member, Pennsylvania Association Of Notaries

SEAL

Date: Oct 22, 2003

Ted Harrison  
Ted Harrison

[STATE]

[COUNTY]

Pennsylvania  
Bucks

)  
)  
)

SS:

On this 22nd day of October, 2003, before me personally appeared Ted Harrison, to me known to be the person named in and who executed the above instrument, and acknowledged to me that she executed the same for the uses and purposes therein set forth.

S E A L

Debra A. Renner

Notary Public

My commission expires 5/19/07

COMMONWEALTH OF PENNSYLVANIA

Notarial Seal  
Debra A. Renner, Notary Public  
Doylestown Twp., Bucks County  
My Commission Expires May 19, 2007

Member, Pennsylvania Association Of Notaries

## STATUS AND ENERGY SPECTRUM

2021-VAT-20-W-3-22

Date: 10/1, 2003

Carolyn G. Muhlbaier  
Carolyn G. Muhlbaier

[STATE] Pennsylvania  
[COUNTY] Bucks

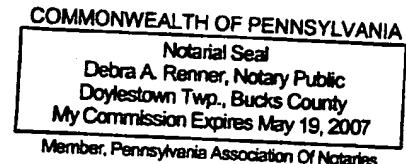
ss:

On this 1st day of October, 2003, before me personally appeared Carolyn G. Muhlbauer, to me known to be the person named in and who executed the above instrument, and acknowledged to me that she executed the same for the uses and purposes therein set forth.

SEAL

## Notary Public

My commission expires \_\_\_\_\_



STATUS AND ENTITY  
BRANCH

Date: Oct 2, 2003

204 MAY 28 PM 2:22

STATE OF PENNSYLVANIA  
BRANCH

Patricia J. Witek

PM 2:22

[STATE]

Pennsylvania

)

[COUNTY]

Bucks

)

)

SS:

On this 21 day of October, 2003, before me personally appeared Patricia J.

Witek; to me known to be the person named in and who executed the above instrument, and

acknowledged to me that she executed the same for the uses and purposes therein set forth.

Debra A. Renner

Notary Public

My commission expires \_\_\_\_\_

COMMONWEALTH OF PENNSYLVANIA

Notarial Seal

Debra A. Renner, Notary Public  
Doylestown Twp., Bucks County  
My Commission Expires May 19, 2007

Member, Pennsylvania Association Of Notaries

SEAL



**CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. 1.8(a))**

SEARCHED, INDEXED,  
BRANCH

**APPLICANT:**

Brad J. Block et al.

201 MAY 20 2004 2:22

**TITLE:**

Method and Apparatus for Accessing and Synchronizing Multiple  
Health Care Databases

**ATTORNEY REF:**

105967.00101

**SERIAL NO.**

10/680,722

**DATE OF DEPOSIT:**

May 20, 2004

I hereby certify that, on the date shown below. This correspondence is being:

**MAILING**

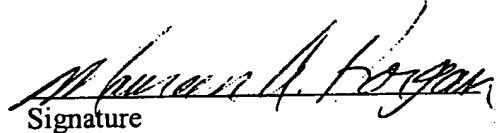
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with sufficient postage as United States First Class mail  
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**FACSIMILE**

transmitted by facsimile to the Patent  
and Trademark Office

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date: May 20, 2004



Signature

Maureen A. Horgan  
(type or print name of person certifying)